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PATENT

Docket No. 3532-4000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) or Patentee(s) : Hahn et al. Group Art Unit: 1641
Serial No. : 09/184,418 Examiner: TO BE ASSIGNED
Filed or Issued : November 2, 1998
For : REFERENCE CLONES AND SEQUENCES FOR NON-SUBTYPE B
ISOLATES OF HUMAN IMMUNODEFICIENCY VIRUS TYPE 1

AI
P#3
4-14-99

STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR § 1.9 (f) and § 1.27 (d)) - NONPROFIT ORGANIZATION

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION The UAB Research Foundation

ADDRESS OF ORGANIZATION 701 South 20th Street, Suite 1120G

Birmingham, AL 35294-0111

TYPE OF ORGANIZATION

- ☐ University or other institution of higher education
☒ Tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c) (3))
☐ Nonprofit scientific or educational under statute of state of The United States of America

(Name of state _____)

(Citation of statute _____)

- ☐ Would qualify as tax exempt under Internal Revenue Service code (26 USC §§
501(a) and 501(c)(3)) if located in the United States of America
☐ Would qualify as nonprofit scientific or educational under statute of state of The United States of
America if located in the United States of America

(Name of state _____)

(Citation of statute _____)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled REFERENCE CLONES AND SEQUENCES FOR NON-SUBTYPE B ISOLATES OF HUMAN IMMUNODEFICIENCY VIRUS TYPE 1 by inventor(s) Hahn et al. described in

- ☐ the specification filed herewith
☒ application Serial No. 09/184,418, filed November 2, 1998
☐ Patent No. _____, issued _____

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR § 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

NAME The UAB Research Foundation

ADDRESS 701 South 20th Street, Suite 1120G, Birmingham, Alabama 35294-0111

☐ Individual

☐ Small Business Concern

☒ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.
(37 CFR § 1.28(b))

NAME OF PERSON SIGNING Shirley Salloway Kahn

TITLE IN ORGANIZATION Vice President

ADDRESS OF PERSON SIGNING The UAB Research Foundation, 701 South 20th Street, Suite 1120G, Birmingham, AL 35294-0111

SIGNATURE Shirley Salloway Kahn
FORM: NONPROFIT
Rev. 7/14/98

DATE DEC. 28, 1998

NOTE: Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR § 1.27)

FORM: NON-PROF.ORG
Rev. 10/04/94